



## IAPD Report

### CURTIS C RANDLE EL

CRD# 4877870

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



## IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

### What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

### Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

### How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

### Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page  
<http://www.nasaa.org/IAPD/IARReports.cfm>

### What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

### Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



## Report Summary

### CURTIS C RANDLE EL (CRD# 4877870)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **02/18/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	NEWBRIDGE SECURITIES CORPORATION	CRD# 104065	05/22/2018
<b>IA</b>	NFSG CORPORATION	CRD# 130814	06/06/2018

### QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **6** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

**Note:** Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

### REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
<b>IA</b>	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	144426	Pittsburg, PA	01/08/2016 - 02/26/2018
<b>B</b>	INTERNATIONAL ASSETS ADVISORY, LLC	10645	PITTSBURGH, PA	12/21/2015 - 02/26/2018
<b>IA</b>	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	144426	PITTSBURGH, PA	12/21/2015 - 12/31/2015

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	1
Termination	1



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with 6 jurisdiction(s) and 2 SRO(s) through his or her employer(s).

#### Employment 1 of 2

Firm Name: **NEWBRIDGE SECURITIES CORPORATION**

Main Address: 1200 NORTH FEDERAL HIGHWAY  
SUITE 400  
BOCA RATON, FL 33432

Firm ID#: 104065

Regulator	Registration	Status	Date
 FINRA	General Securities Representative	Approved	05/22/2018
 Nasdaq Stock Market	General Securities Representative	Approved	05/22/2018
 Indiana	Agent	Approved	06/11/2018
 Maryland	Agent	Approved	06/06/2018
 Michigan	Agent	Approved	06/17/2019
 Ohio	Agent	Approved	06/04/2018
 Pennsylvania	Agent	Approved	06/01/2018
 Texas	Agent	Approved	03/14/2024

#### Branch Office Locations

1712 MOUNT NEBO ROAD  
SEWICKLEY, PA 15143

#### Employment 2 of 2

Firm Name: **NFSG CORPORATION**

Main Address: 1200 NORTH FEDERAL HIGHWAY  
SUITE 400  
BOCA RATON, FL 33432



## Qualifications

Firm ID#: 130814

Regulator	Registration	Status	Date
IA Pennsylvania	Investment Adviser Representative	Approved	06/06/2018

## Branch Office Locations

**NFSG CORPORATION**  
1712 MOUNT NEBO ROAD  
SEWICKLEY, PA 15143



## Qualifications

### PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

**This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	03/11/2005

#### State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	09/09/2005

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	01/08/2016 - 02/26/2018	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	CRD# 144426	Pittsburg, PA
B	12/21/2015 - 02/26/2018	INTERNATIONAL ASSETS ADVISORY, LLC	CRD# 10645	PITTSBURGH, PA
IA	12/21/2015 - 12/31/2015	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	CRD# 144426	PITTSBURGH, PA
B	12/12/2014 - 12/18/2015	COASTAL EQUITIES, INC.	CRD# 23769	PITTSBURGH, PA
IA	12/12/2014 - 12/18/2015	COASTAL INVESTMENT ADVISORS	CRD# 134952	PITTSBURGH, PA
B	11/24/2014 - 12/15/2014	CETERA ADVISORS LLC	CRD# 10299	PITTSBURGH, PA
IA	11/24/2014 - 12/15/2014	CETERA ADVISORS LLC	CRD# 10299	PITTSBURGH, PA
IA	11/02/2011 - 11/25/2014	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	CRD# 134139	PITTSBURGH, PA
B	11/01/2011 - 11/25/2014	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	PITTSBURGH, PA
B	03/20/2009 - 06/15/2011	PNC INVESTMENTS	CRD# 129052	PITTSBURGH, PA
IA	03/20/2009 - 06/15/2011	PNC INVESTMENTS	CRD# 129052	PITTSBURGH, PA
IA	11/01/2005 - 12/16/2008	HEFREN-TILLOTSON, INC.	CRD# 53	WEXFORD, PA
B	06/08/2005 - 12/16/2008	HEFREN-TILLOTSON, INC.	CRD# 53	WEXFORD, PA

### EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2024 - Present	NEWBRIDGE SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	SEWICKLEY, PA, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2018 - 10/2024	NEWBRIDGE SECURITIES CORPORATION	REGISTERED REP	Y	Pittsburgh, PA, United States
12/2015 - 02/2018	INTERNATIONAL ASSETS ADVISORY, LLC	REGISTERED REP	Y	PITTSBURGH, PA, United States

### OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

- 1) RANDLE EL WEALTH ADVISORS, LLC - 1712 MOUNT NEBO ROAD - SEWICKLEY, PA 15143 - dba FOR FINANCIAL AND INSURANCE SERVICES - 100% OWNER SINCE 10/2011 - APPROX 40 HRS/MO - COMMISSIONS/FEES
- 2) INDEPENDENT FIXED INSURANCE AGENT 1712 MOUNT NEBO ROAD - SEWICKLEY, PA 15143 - FIXED INSURANCE PROVIDER - AGENT SINCE 11/2014 - APPROX 40 HRS/MO - COMMISSIONS
- 3) PITTSBURGH HISTORIC LANDMARKS FOUNDATION AND ENDOWMENT FINANCE COMMITTEE 100 WEST STATION SQUARE PITTSBURGH, PA 15219 - BOARD MEMBER GOVERNING THE ACTIVITIES OF THE PHLF STAFF AND PRESERVING THE ENDOWMENT THROUGH OVERSIGHT OF INVESTMENT CONSULTANT SINCE 01/2008 - APPROX 1 HR/MO - NO COMPENSATION
- 4) Greater YMCA of Pittsburgh, Volunteer Board member. Since 2018 -3 Hours/MO. -No Compensation



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

##### (1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

##### (2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

##### (3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
  - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
  - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

##### (4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	1
Termination	1

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	FINRA
<b>Sanction(s) Sought:</b>	Other: N/A
<b>Date Initiated:</b>	02/10/2017
<b>Docket/Case Number:</b>	<a href="#">2014043660101</a>
<b>Employing firm when activity occurred which led to the regulatory action:</b>	Cambridge Investment Research, Inc.
<b>Product Type:</b>	Mutual Fund Unit Investment Trust
<b>Allegations:</b>	Without admitting or denying the findings, Randle EI consented to the sanctions and to the entry of findings that he recommended and effected short-term trades involving Class A mutual fund shares and UITs for the accounts of elderly customers with conservative investment objectives without having a reasonable basis for believing that such transactions were suitable. The findings stated that even though mutual funds and UITs are intended as longer-term investments, Randle EI recommended that the customers sell these products after an average of only 60 days. In addition, some of the transactions involved switching—where Randle EI used the proceeds from the sale of Class A mutual fund shares to purchase other Class A mutual fund shares. As a result of these transactions, the customers suffered losses of approximately \$33,185.
<b>Current Status:</b>	Final



**Resolution:** Acceptance, Waiver & Consent(AWC)

**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?**

**Resolution Date:** 02/10/2017

**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)  
Suspension

**If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?**

**(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?**

**(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or**



**(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?**

**Sanction 1 of 1**

**Sanction Type:** Suspension  
**Capacities Affected:** all capacities  
**Duration:** three months  
**Start Date:** 03/06/2017  
**End Date:** 06/05/2017

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$5,000.00

**Portion Levied against individual:** \$5,000.00

**Payment Plan:**

**Is Payment Plan Current:**

**Date Paid by individual:** 11/03/2017

**Was any portion of penalty waived?** No

**Amount Waived:**

**Regulator Statement** Fine paid in full on November 3, 2017.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** FINRA

**Sanction(s) Sought:** Other: N/A

**Date Initiated:** 02/10/2017

**Docket/Case Number:** [2014043660101](#)



<b>Employing firm when activity occurred which led to the regulatory action:</b>	CAMBRIDGE INVESTMENT RESEARCH, INC.
<b>Product Type:</b>	Mutual Fund Unit Investment Trust
<b>Allegations:</b>	Without admitting or denying the findings, Randle EI consented to the sanctions and to the entry of findings that he recommended and effected short-term trades involving Class A mutual fund shares and UITs for the accounts of elderly customers with conservative investment objectives without having a reasonable basis for believing that such transactions were suitable. The findings stated that even though mutual funds and UITs are intended as longer-term investments, Randle EI recommended that the customers sell these products after an average of only 60 days. In addition, some of the transactions involved switching-where Randle EI used the proceeds from the sale of Class A mutual fund shares to purchase other Class A mutual fund shares. As a result of these transactions, the customers suffered losses of approximately \$33,185.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	02/10/2017
<b>Sanctions Ordered:</b>	Civil and Administrative Penalty(ies)/Fine(s) Suspension
<b>Sanction 1 of 1</b>	
<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	ALL CAPACITIES
<b>Duration:</b>	3 MONTHS
<b>Start Date:</b>	03/06/2017
<b>End Date:</b>	06/05/2017
<b>Monetary Sanction 1 of 1</b>	
<b>Monetary Related Sanction:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Total Amount:</b>	\$5,000.00
<b>Portion Levied against individual:</b>	\$5,000.00
<b>Payment Plan:</b>	
<b>Is Payment Plan Current:</b>	
<b>Date Paid by individual:</b>	
<b>Was any portion of penalty waived?</b>	No
<b>Amount Waived:</b>	

**Broker Statement**

While, I have acknowledged making unsuitable recommendations to the client, but at the time of the trades the clients authorized the transactions and I believed at the time that the transactions were in the clients' best interests. At no time did I intentionally make unsuitable recommendations in order to harm the clients or benefit myself. All of the clients involved have been or will be fully restituted.



## Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	CARBRIDGE INVESTMENT RESEARCH, INC.
<b>Allegations:</b>	CLIENT ALLEGES RR ENGAGED IN EXCESSIVE TRADING TO GENERATE COMMISSIONS RATHER THAN WORKING IN HER BEST INTEREST.
<b>Product Type:</b>	Annuity-Variable Mutual Fund
<b>Alleged Damages:</b>	\$133,725.42
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

## Customer Complaint Information

<b>Date Complaint Received:</b>	02/09/2015
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	05/04/2015
<b>Settlement Amount:</b>	\$5,411.98
<b>Individual Contribution Amount:</b>	\$0.00

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<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	CARBRIDGE INVESTMENT RESEARCH, INC.
<b>Allegations:</b>	CLIENT ALLEGES RR ENGAGED IN EXCESSIVE TRADING TO GENERATE COMMISSIONS RATHER THAN WORKING IN HER BEST INTEREST.
<b>Product Type:</b>	Annuity-Variable Mutual Fund
<b>Alleged Damages:</b>	\$133,725.42
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes



**Is this an arbitration/CFTC  
reparation or civil litigation?** No

### **Customer Complaint Information**

**Date Complaint Received:** 02/09/2015

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 05/04/2015

**Settlement Amount:** \$5,411.98

**Individual Contribution  
Amount:** \$0.00



## Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

### Disclosure 1 of 1

**Reporting Source:** Firm  
**Firm Name:** PNC INVESTMENTS  
**Termination Type:** Discharged  
**Termination Date:** 06/03/2011  
**Allegations:** ON MAY 20TH, 2011 IT WAS DISCOVERED THAT MR. RANDLE-EL SIGNED THE INITIALS OF A CLIENT ON A FORM IN APRIL 2011, THAT DESIGNATED THE CLIENT'S BENEFICIARY. FOLLOWING AN INVESTIGATION BY PNC IT WAS DETERMINED THAT MR. RANDLE-EL HAD VIOLATED FIRM POLICY BY SIGNING A CLIENTS INITIAL ON A FORM IN ORDER TO EXPEDITE PROCESSING. HE WAS TERMINATED ON JUNE 3, 2011.  
**Product Type:** No Product

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**Reporting Source:** Individual  
**Firm Name:** PNC INVESTMENTS  
**Termination Type:** Discharged  
**Termination Date:** 06/03/2011  
**Allegations:** ON MAY 20TH 2011 IT WAS DISCOVERED THAT MR. RANDLE-EL SIGNED THE INITIALS OF A CLIENT ON A FORM IN APRIL 2011, THAT DESIGNATED THE CLIENTS BENEFICIARY. FOLLOWING AN INVESTIGATION BY PNC IT WAS DETERMINED THAT MR. RANDLE-EL HAD VIOLATED FIRM POLICY BY SIGNING A CLIENTS INITIAL ON A FORM IN ORDER TO EXPEDITE PROCESSING. HE WAS TERMINATED ON JUNE 3, 2011.

**Product Type:** No Product

**Broker Statement** I WAS NOT AWARE NOR WAS I TRAINED ON THE BANK AFFILIATES INTERNAL POLICY WHILE GIVEN FULL DISCRETION REGARDING THE PROCESSING OF CLIENT PAPERWORK. NO TRADES WERE MADE NOR WAS ANY CLIENT HARMED.



## End of Report

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